

**UNITED STATES SECURITIES AND EXCHANGE COMMISSION  
ATTORNEY  
VACANCY ANNOUNCEMENT**

**Announcement No. 04-245-FB**

**Opening Date: 09/13/2004**

**Closing Date: 09/24/2004**

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**POSITION TITLE**

Attorney-Adviser (SI)  
This is a bargaining unit position

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**PAY PLAN, SERIES, GRADE**

SK-905-14 (\$108,566 to \$139,093 per annum)

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**FULL PERFORMANCE LEVEL**

SK-14

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**EXCEPTED CIVIL SERVICE**

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**NUMBER OF VACANCIES**

2

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**WORK SCHEDULE**

Full time

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**AREA OF CONSIDERATION**

SEC Only

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**ORGANIZATION AND DUTY STATION**

Office of Compliance Inspections & Examinations  
Office of Market Oversight  
Offices of SRO Inspections No. 1 and No. 3  
Washington, DC

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**FOR ADDITIONAL VACANCIES THAT MAY BE AVAILABLE VISIT: [WWW.SEC.GOV/JOBS.SHTML](http://WWW.SEC.GOV/JOBS.SHTML)**

**SUMMARY OF DUTIES:**

Incumbent serves as attorney-adviser in the Office of Market Oversight, under the supervision of a Branch Chief, Assistant Directors and Associate Directors. As an attorney-adviser, the incumbent will deal with inspections and examinations in the area of self-regulatory organizations, broker-dealers and transfer agents. The incumbent is responsible for oversight inspections of various SROs programs and related disciplinary programs, arbitration, listing standards, advertising and other programs aimed at the protection of individual investors. Incumbent will participate in special purpose SRO inspections. Incumbent will serve as adviser to top management in OCIE regarding SRO activities. Participates in conferences dealing with important policy matters and provides advisory services regarding legal interpretations of policy-type considerations. As required, may be assigned to especially complex or sensitive inspections or investigations involving SROs.

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**QUALIFICATIONS REQUIRED:** (All candidates must meet the minimum requirements as summarized below).

Candidates must have at least 52 weeks of specialized experience at the next lower grade level (i.e.GS/SK-13 or SK 14) in the federal service which clearly demonstrates progressively responsible legal work involving complex legal issues, requiring in-depth knowledge of the rules and regulations of registered securities exchanges, NASD, registered broker-dealers, as well as the Commission's legal authority for oversight of SROs, self-regulatory activities, broker-dealers and transfer agents.

**Candidates must show in the application date J.D. received from an accredited law school and indicate the state or the District of Columbia where active bar membership is maintained.**

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**QUALITY RANKING FACTORS:** Candidates who meet the qualification requirements will be evaluated against the following Ranking Factors to determine the best qualified.

1. Experience that demonstrates the application of an in-depth knowledge of Federal securities laws, rules, and regulations and investigative techniques and procedures in relation to the securities industry and markets, and especially the SRO industry.
2. Experience that demonstrates the ability to analyze SROs, broker-dealers and transfer agents records.
3. Experience that demonstrates the ability to communicate orally and in writing.

**(SEE REVERSE FOR ADDITIONAL INFORMATION)**

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## HOW TO APPLY

Candidates MUST submit:

1. A résumé; the Optional Application for Federal Employment; or any other written format of your choice which clearly identifies: the announcement number, title and grade of the job for which you are applying, position information, and relevant work experience.
2. A separate sheet which clearly addresses the specific Quality Ranking Factors.
3. Your most recent federal performance appraisal.
4. Copy of SF-50, Notification of Personnel Action, to verify Federal status.

If you do not provide all the information requested, you may lose consideration for this position. None of these forms will be subsequently loaned or returned to applicants.

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## FILING APPLICATIONS

Applications should be postmarked no later than the close-of-business day (5:30pm Eastern Time) of the vacancy announcement closing date. Hand delivered applications from within headquarters must be personally accepted and date stamped in OHR, Mini Personnel Office, Room 1120, Mail stop 1-3 on or before the vacancy announcement closing date.

Applications received in postage-paid Government envelopes will not be considered and are a violation of Federal law and regulation. In accordance with agency policy, SEC will only accept FAX applications if there is evidence that they were not sent from Federal Government FAX machines. Applicants are reminded of legal prohibition against the use of Government envelopes or other property for other than officially approved activities. These prohibitions are contained in 5 U.S.C. 735.205, 39 U.S.C. and 18 U.S.C.

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## WHERE TO FILE

U.S. Securities and Exchange Commission  
Office of Human Resources (Mail Stop 0-1)  
Attn: DeLisia Carpenter  
6432 General Green Way  
Alexandria, Virginia 22312

FAX NUMBER: 703-914-0556

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## ADDITIONAL INFORMATION

Moving expenses will not be paid. Candidates must meet all eligibility requirements by the closing date.

**INDIVIDUALS WITH DISABILITIES AND ELIGIBLE VETERANS.** Disabled veterans, individuals with disabilities and veterans eligible for special appointing authorities are strongly encouraged to apply. Veterans who are preference eligibles or who have been separated from the armed forces under honorable conditions after 3 years or more of continuous active service may apply.

**SECURITY CLEARANCE:** The individual selected may be subject to a security investigation. Favorable results on a Background Investigation may be a condition of employment or selection to another position.

This agency provides reasonable accommodations to applicants with disabilities. If you need a reasonable accommodation for any part of the application and hiring process, please notify the agency. The decision on granting reasonable accommodation will be on a case-by-case basis.

**EQUAL EMPLOYMENT OPPORTUNITY:** All candidates will be considered without regard to any non-merit reason such as race, color, religion, age, sex, national origin, sexual orientation, or disability status. Disabled veterans, individuals with disabilities and veterans eligible for special OHRAS appointing authorities are strongly encouraged to apply.